Chapter 23: Requesting Records

The SEER*DMS record request feature provides a mechanism for a registry to request either a specific record or a specified set of records from an outside organization, and to track responses received by the registry.

If you need to request records from an organization or facility, the record request feature enables you to generate a letter to send via email, mail, or fax. It can also be used to facilitate communications by phone. The current version of SEER*DMS does not support e-mail encryption, so record requests related to specific patients cannot be sent via e-mail at this time. After you have added a record request to the system, SEER*DMS creates a tracking page for the request. This page can be used to keep track of the imported file(s) which resolve the request.

In this chapter, you'll learn about:

- Using the Record Request Manager
- Creating and Sending a Record Request
- Viewing Tracking Information for a Record Request
- Tracking Receipt of Records
- Resending a Record Request
- Reporting a Deficient Facility to a Supervising Agency

Using the Record Request Manager

Requires system permission: *record_request_add* or *record_request_resolve*

To view a list of record requests:

1. Select **Manage** > **Record Request**.
2. To sort the list by the data in any column, click on the column heading.
   - **ID** - Record Request ID
     - A GRR prefix denotes a General Record Request, a request for all records of a certain record type for a specified period of time.
     - An SRR prefix denotes a Specific Record Request, a request for records for a specified patient.
   - **Contact** – The ID of the organization representative to whom the request was sent. Click the information icon to view the contact's name.
   - **Facility** - Facility ID for the request recipient.
   - **Record Type** – The type of record that was requested.
   - **Years** - The year of the Dx Date listed in a Specific Record Request, or the year(s) listed in the From and Through dates of a General Record Request.
   - **Sent By** – SEER*DMS user who submitted the request for records.
   - **Sent Dt** - Date the request was sent.
   - **Date Closed** – The date that the record request was processed and closed.

3. To search for a specific request or limit the list:

   a. To search for a particular request or group of requests, enter one or more IDs in the **Request ID(s)** filter. Enter SRR to view only Specific Record Request; enter GRR to view only General Record Requests.

   b. To view requests of a particular record type, click an item in the **Record Type(s)** filter. To display more than one record type, hold down the **CTRL** key and click on each type you wish to search.

   c. To limit the list of requests by a range of the dates sent, enter beginning and end dates in the **Sent Dt From** and **Sent Dt Through** filters. Use the MM-DD-YYYY format or select a date using the Calendar tool.

   d. To limit the list of requests by the year of the Dx Date in a Specific Record Request, or the year of the From and Through dates in a General Record Request, enter a value in the **Year** filter.

   e. To view requests sent to a particular facility, enter a full or partial Facility ID in the **Facility** filter or click the adjacent lookup icon to select a facility.

   f. To view requests sent by a specific user, enter a full or partial user name in the **Sent By** filter.

   g. Check **Hide Closed Request(s)** to search only for open requests; uncheck this box to view all requests regardless of status.

4. Click **Apply**.

5. *Optional:* To restore the default list view, click **Reset**.

Creating and Sending a Record Request

Requires system permission: *record_request_add* and *contact_view*

A Specific Record Request is a request for data regarding a specific patient. A General Record Request is a request for all records of a certain record type for a specified period of time.

To request records for a specific patient:

1. Select **Manage** > **Record Request**.
2. Click **Add**.
3. Set the **Request Type** to *Specific Patient*.
4. Enter the name of the organization representative to be contacted in the **Name of Contact** field, or click the lookup.
5. Select the desired **Record Type** from the pull-down list.
6. You must enter either the **Patient Name** or the **Facility Patient ID**.
7. If available, enter **Med Rec #** (medical record number), **Site**, **Histology**, and **Dx Date**.
8. Click **Send**.
9. Follow the instructions below for *Completing a Record Request*.

To request a general set of records:

1. Select **Manage** > **Record Request**.
2. Click **Add**.
3. Set the **Request Type** to General.
4. Enter the name of the organization representative to be contacted in the **Name of Contact** field, or click the lookup.
5. Select the desired **Record Type** from the pull-down list.
6. Limit the request to records from a specific time period by entering a start date in the **From** field and an end date in the **Through** field. Use the MM-DD-YYYY date format, or click the calendar icon.
7. Add the **Payment Amount** ($) for the records, if payment is required.
8. Click **Send**.
9. Follow the instructions below for *Completing a Record Request*.

Completing a record request:

The Communication page will open to the organization representative's preferred contact method, if one is listed in the system. The current version of SEER*DMS does not support e-mail encryption, so record requests for a Specific Patient cannot be sent via e-mail at this time. Communication options are limited by the contact information listed in the system for an organization representative. See *Chapter 19: The Contact List* for more information.

1. A message describing the record request in detail will be automatically generated.
2. If you are sending the record request by mail or fax, set the communication **Type** to Letter or Fax. Click **Print** to create a PDF file that can be saved and/or printed.
3. If you are contacting the organization representative by telephone, set the **Type** to Phone. The representative's phone number will be displayed, and you can record a summary of the call in the **Comments** box.
4. If you are contacting the organization representative by email, set the **Type** to Email. You may use the following fields to complete the email.
   a. Click either the **To**, **CC**, or **BCC** link to send the email to others as a primary addressee, as a carbon copy, or as a blind carbon copy.
   b. Click Attach File to attach a file to the message. Do not attach files containing confidential data unless the file is encrypted. (SEER*DMS does not provide a mechanism for encrypting data files or e-mail messages.)
5. You may edit the content of the **Message** as needed.
6. Click **OK** to save the record request and designate the request as Sent. The system will now assume for tracking purposes that you have mailed or faxed the letter, or contacted the representative by phone.
7. Click **Cancel** to exit without saving the request.

Viewing the Tracking Information for a Record Request

Requires system permission: *record_request_resolve*

To view the tracking information for any record request:

1. Select **Manage** > **Record Request**.
2. Use the **Filter** to search for a request or limit the list. See the *Using the Record Request Manager* section of this chapter for more information.
3. Click on the Request ID of the record request you wish to view, or click the adjacent **edit** link.

Information about the record request is displayed at the top of the page in read-only format. The **Communication History** log at the bottom of the page displays a record of each time the request has been sent, including any **Comments** added from the Communication page.

Tracking Receipt of Records

Requires system permission: record_request_resolve

When the requested records are received and imported into SEER*DMS, you need to set the status of the Record Request to *Closed*.

To track the receipt of requested records:

1. Select **Manage** > **Record Request**.
2. Use the **Filter** to search for a request or limit the list. See the *Using the Record Request Manager* section of this chapter for more information.
3. Click on the Request ID of the record request to be modified, or click the adjacent **edit** link.
4. Click the  lookup to the right of the Import field to bring up a window that displays a list of the **Imports**. The latest imports will be listed first.
5. You may sort this list by clicking any of the underlined column headings.
6. Click the Import ID adjacent to the import that satisfies the request, or click **Cancel** to close the Lookup window.
7. If additional records are needed to resolve this request, leave the Request **Status** set to *Open*, and click **Save** to save your revisions.
8. If all of the requested records have been received, you should close the record request. Set the **Status** to *Closed*, and click **Save**.

Resending a Record Request

Requires system permission: record_request_resolve

To resend a record request:

1. Select **Manage** > **Record Request**.
2. *Optional*: Use the **Filter** to search for a request or limit the list. See Using the Record Request Manager for more information.

3. Click on the Request ID of the record request you wish to resend, or click the adjacent **Edit** link.
4. *Optional*: Enter a **Tracking Comment**.
5. Click **Resend**.
   a. If you are sending the record request by mail or fax, set the communication **Type** to Letter or Fax. A formatted letter describing the record request in detail will be automatically generated. This letter can be edited and printed.
   b. If you are contacting the organization representative by telephone, set the Type to Phone. The representative's phone number will be displayed, and you can record a summary of the call in the **Comments** box.
6. Click **OK** to designate the request as Resent; click **Cancel** to exit without resending the request.

Reporting a Deficient Facility to a Supervising Agency

Requires system permission: *record_request_resolve*

If an organization or facility fails to respond to a General Record Request, you may be required by local policy to report this deficiency to a supervising agency.

To report a deficient facility to a supervising agency:

1. Select **Manage** > **Record Request**.
2. *Optional:* Use the **Filter** to search for a request or limit the list. See the *Using the Record Request Manager* section of this chapter for more information.
3. Click on the **Request ID** of the relevant record request, or click the adjacent **edit** link.
4. Click the **Report As Deficient** link (Note: this link is only displayed for general record requests)
5. Review the automatically generated e-mail, and edit it if necessary. The email is automatically addressed to the email address specified in the *system.registry.report-to.state.email* configuration setting.
6. Click the **Attach File** link if you would like to attach any files with the email. Do not attach files containing confidential data unless the file is encrypted. (SEER*DMS does not provide a mechanism for encrypting data files or e-mail messages.)
7. Click **Send**.